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| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> | Attorney Docket No.                      | 236607US6  |
|   | First Inventor or Application Identifier | Jean-Michel LASRY  |
|   | Title                                    | A SYSTEM, METHOD, AND COMPUTER PROGRAM PRODUCT FOR MANAGING FINANCIAL RISK WHEN ISSUING TENDER OPTIONS |
| Assignee Name:  |  | Credit-Agricole Indosuez   |
| Assignee Address:   |  | 9 quai Paul Doumer, Courbevoie 92400 FRANCE  |

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| <b>APPLICATION ELEMENTS</b><br><small>See MPEP chapter 600 concerning utility patent application contents</small>  | <b>ADDRESS TO:</b> Commissioner for Patents<br>Mail Stop Patent Application<br>Alexandria, Virginia 22313  |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g. PTO/SB/17)<br><small>(Submit an original and a duplicate for fee processing)</small><br><br>2. <input checked="" type="checkbox"/> Specification Total Sheets <input type="text" value="31"/><br><br>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) Total Sheets <input type="text" value="5"/><br><br>4. <input type="checkbox"/> Oath or Declaration Total Pages <input type="text"/><br>a. <input type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. §1.63(d))<br><small>(for continuation/divisional with box 17 completed)</small><br>i. <input type="checkbox"/> DELETION OF INVENTOR(S)<br>Signed statement attached deleting inventor(s) named in<br>the prior application, see 37 C.F.R. §1.63(d)(2) and<br>1.33(b).<br>5. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer<br>Program (Appendix)<br>6. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission<br>(if applicable, all necessary)<br>a. <input type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification or Sequence Listing on :<br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or<br>ii. <input type="checkbox"/> Paper<br>c. <input type="checkbox"/> Statements verifying identity of above copies | <b>ACCOMPANYING APPLICATION PARTS</b><br><br>7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))<br>8. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 (2 Pages)<br>9. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney<br><small>(when there is an assignee)</small><br>10. <input type="checkbox"/> English Translation Document (if applicable)<br>11. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS<br>Citation (1)<br>12. <input type="checkbox"/> Preliminary Amendment<br>13. <input checked="" type="checkbox"/> White Advance Serial No. Postcard<br>14. <input type="checkbox"/> Certified Copy of Priority Document(s)<br><small>(if foreign priority is claimed)</small><br>15. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27<br>16. <input type="checkbox"/> Other: |

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 07/22/03

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation   
 ☐ Divisional   
 ☐ Continuation-in-part (CIP)   
 of prior application no.:

Prior application information:    Examiner:    Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.


18. Amend the specification by inserting before the first line the sentence:

☐ This application is a ☐ Continuation ☐ Division ☐ Continuation-in-part (CIP)  
 of application Serial No.    Filed on

☐ This application claims priority of provisional application Serial No.    Filed

**19. CORRESPONDENCE ADDRESS**

  
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|------------|---|-------------------|---------|
| Name:      | Bradley D. Lytle  | Registration No.: | 40,073  |
| Signature: |  | Date:             | 7/22/03 |
| Name:      | Michael E. Monaco   | Registration No.: | 52,041  |

Docket No. 236607US6

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

INVENTOR(S) Jean-Michel LASRY, et al.

SERIAL NO: New Application

FILING DATE: Herewith

FOR: A SYSTEM, METHOD, AND COMPUTER PROGRAM PRODUCT  
FOR MANAGING FINANCIAL RISK WHEN ISSUING TENDER OPTIONS

**FEE TRANSMITTAL**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

| FOR   | NUMBER<br>FILED | NUMBER<br>EXTRA | RATE      | CALCULATIONS |
|---|-----------------|-----------------|-----------|--------------|
| TOTAL CLAIMS  | 27 - 20 =       | 7               | x \$18 =  | \$126.00     |
| INDEPENDENT CLAIMS  | 3 - 3 =         | 0               | x \$84 =  | \$0.00       |
| <input checked="" type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable) |                 |                 | + \$280 = | \$280.00     |
| <input checked="" type="checkbox"/> LATE FILING OF DECLARATION                |                 |                 | + \$130 = | \$130.00     |
| BASIC FEE   |                 |                 |           | \$750.00     |
| TOTAL OF ABOVE CALCULATIONS   |                 |                 |           | \$1,286.00   |
| <input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY          |                 |                 |           | \$0.00       |
| <input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE                       |                 |                 | + \$130 = | \$0.00       |
| <input type="checkbox"/> RECORDATION OF ASSIGNMENT                            |                 |                 | + \$40 =  | \$0.00       |
| TOTAL   |                 |                 |           | \$1,286.00   |

- ☐ Please charge Deposit Account No. 15-0030 in the amount of      A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of **\$1,286.00** to cover the filing fee is enclosed.
- ☒ The Director is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

Date: 7/22/03



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